



# COMMONWEALTH OF KENTUCKY JOB CLASS SPECIFICATION

## FINANCIAL INSTITUTIONS EXAMINER II

Job Number: 21000901

Job Code: 34310V151016

Job Group: 3400 - FINANCIAL EXAMINATION

Job Established: 10/16/2015

Job Revised:

Grade: 14 Salary (MIN - MID):

\$18,075-\$23,944 - Hourly

\$2,937.20-\$3,890.90 - 37.5 Hr. Monthly Salary

\$3,133.00-\$4,150.30 - 40 Hr. Monthly Salary

Special Entrance Rate:

\$22,789 - Hourly

\$3,703.22 - 37.5 Hr. Monthly Salary

\$3,950.00 - 40 Hr. Monthly Salary

### PROBATIONARY PERIOD:

This job has an extended initial probationary period of 12 months. For additional information refer to: <http://www.lrc.ky.gov/kar/101/001/325.htm>

**CHARACTERISTICS OF THE JOB:** *Characteristics of a job are general statements indicating the level of responsibility and discretion of positions in that job classification. These are not intended to be an exhaustive list.*

At an intermediate level, reviews and evaluates, and/or investigates applications and registrations in the examination or investigation of financial institutions or securities entities. Serves as the examiner-in-charge or as a member of a state examination/investigation team. Prepares all or substantial portions of the examination/investigation report or other official documentation of findings and presents major findings as assigned; and performs other duties as required.

### MINIMUM REQUIREMENTS:

#### **EDUCATION:**

Graduate of a college or university with a bachelor's degree in accounting, business administration, economics, finance, or juris doctorate degree.

#### **EXPERIENCE:**

Must have one year of experience as a financial institution or securities entity examiner or as a licensed attorney with the financial services industry; or four years of professional experience as an officer, accountant, internal auditor, compliance officer, analyst or related professional in a financial institution; or as a licensed securities broker, dealer, agent, or investment advisor; or as an investigator of financial fraud in the financial institutions or securities industries; or working for a financial institutions regulatory agency or securities industries regulatory agency.

#### **Substitute EDUCATION for EXPERIENCE:**

A masters degree in accounting, business administration, economics, finance or a related field will substitute for one year of the required experience.

#### **Substitute EXPERIENCE for EDUCATION:**

Experience as a financial institution or securities entity examiner, or professional experience working for a financial institutions

regulatory agency or securities industries regulatory agency will substitute for the required education on a year-for-year basis. OR Two years of professional experience as an officer, accountant, analyst, internal auditor, compliance officer, or related professional in a financial institution; or as a licensed securities broker, dealer, agent or investment advisor; or as an investigator of financial fraud in the financial institutions or securities industries will substitute for each year of the required education.

**SPECIAL REQUIREMENTS (AGE, LICENSURE, REGULATION, ETC.):**

Must possess and maintain a valid driver's license prior to appointment in this classification. Employing agency is responsible for ensuring employee possesses and maintains a valid driver's license.

**EXAMPLES OF DUTIES OR RESPONSIBILITIES OF THE JOB CLASSIFICATION:** *Examples of duties or responsibilities are not to be construed as describing what the duties or responsibilities of any position shall be and are not to be construed as limiting the appointing authority's ability to assign, or otherwise alter the duties and responsibilities of a position. This is not intended to be an exhaustive list.*

Performs routine tasks necessary to review and evaluate applications and registrations; or to conduct examinations, audits, compliance reviews, or investigations of a state-regulated financial institution or securities entities by applying analytical techniques and processes in accordance with state and/or federal statutes, administrative regulations, and established departmental policies and procedures. As examiner-in-charge assigns tasks and supervises procurement, review, and analysis of data. Prepares all or a substantial portion of the examination/investigation report or other official documentation detailing the examiner's or team's findings. As an investigator conducts interviews, collects and analyzes data. Requests and serves subpoenas; marks, catalogues and stores evidence. Presents testimony and develops documentation to support findings. Prepares correspondence and case reports. Trains less experienced examiners and reviews work performed by other examiners assigned to the same institution or entity.

**UNIQUE PHYSICAL REQUIREMENTS:**

Must be able to transport personal (laptop) computer, printer, adding machine/calculator, various books and manuals. May occasionally be required to lift file boxes in excess of twenty-five pounds.

**TYPICAL WORKING CONDITIONS:** *Incumbents in the job will typically perform their job duties under these conditions.*

Work is usually performed in the offices of the financial institution or securities entity being examined, reviewed, or investigated. Will require travel usually within a defined geographic "district". Travel outside one's district may be required periodically. Work may also be performed in the Department's central office or in one of its field offices.

**ADDITIONAL REQUIREMENTS:**

Upon appointment, employees in this class may be required to maintain a valid driver's license and required to drive a licensed vehicle. This status may be necessary for the length of time in this class. If this is necessary it will be listed in the specific position description for that position. Applicants and employees in this job title maybe required to submit to a drug screening test and background check. Applicants and employees in positions which perform job duties that may require contact with offenders in the custody or supervision of the Department of Corrections or with youth in the care, custody, or supervision of the Department of Juvenile Justice must meet qualifications pursuant to the federal Prison Rape Elimination Act, 28 C.F.R.115.17 and 115.317.

*THE COMMONWEALTH OF KENTUCKY DOES NOT DISCRIMINATE ON THE BASIS OF RACE, COLOR, RELIGION, SEX, NATIONAL ORIGIN, SEXUAL ORIENTATION OR GENDER IDENTITY, ANCESTRY, AGE, DISABILITY, POLITICAL AFFILIATION, GENETIC INFORMATION OR VETERAN STATUS IN ACCORDANCE WITH STATE AND FEDERAL LAWS.*